

AD-A011 716

THIN FILM OPTICAL WAVEGUIDES IN III-V SEMICONDUCTORS

M. George Craford

Monsanto Company

Prepared for:

Air Force Cambridge Research Laboratories
Defense Advanced Research Projects Agency

July 1974

DISTRIBUTED BY:

NTIS

National Technical Information Service
U. S. DEPARTMENT OF COMMERCE

195068

AFCRL-TR-74-0554

THIN FILM OPTICAL WAVEGUIDES
IN III-V SEMICONDUCTORS

M. G. Craford

Monsanto Company
Electronics Division
800 N. Lindbergh Boulevard
St. Louis, Missouri 63166

July, 1974

Semi-Annual Technical Report No. 4

Approved for public release; distribution unlimited.

Sponsored by

Defense Advanced Research Projects Agency
ARPA Order No. 2074

Monitored by

AIR FORCE CAMBRIDGE RESEARCH LABORATORIES
AIR FORCE SYSTEMS COMMAND
UNITED STATES AIR FORCE
HANSCOM AFB, MASSACHUSETTS 01731

Reproduced by
NATIONAL TECHNICAL
INFORMATION SERVICE
US Department of Commerce
Springfield, VA. 22151



A

ADA011716

ARPA Order Number
2074

Program Code Number
3D10

Name of Contractor
Monsanto Co.

Effective Date of Contract
1 July 1972

Contract Number
F19628-72-C-0324

Principal Investigator
and Phone Number

Dr. M. George Craford
413 694-3647

AFCRL Project Scientist
and Phone Number

Dr. Andrew C. Yang
617 861-2225

Contract Expiration Date
31 January 1975

ACQUISITION DIV.

PTIS

DATE

REMARKS

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

27

28

29

30

31

32

33

34

35

36

37

38

39

40

41

42

43

44

45

46

47

48

49

50

51

52

53

54

55

56

57

58

59

60

61

62

63

64

65

66

67

68

69

70

71

72

73

74

75

76

77

78

79

80

81

82

83

84

85

86

87

88

89

90

91

92

93

94

95

96

97

98

99

100

101

102

103

104

105

106

107

108

109

110

111

112

113

114

115

116

117

118

119

120

121

122

123

124

125

126

127

128

129

130

131

132

133

134

135

136

137

138

139

140

141

142

143

144

145

146

147

148

149

150

151

152

153

154

155

156

157

158

159

160

161

162

163

164

165

166

167

168

169

170

171

172

173

174

175

176

177

178

179

180

181

182

183

184

185

186

187

188

189

190

191

192

193

194

195

196

197

198

199

200

201

202

203

204

205

206

207

208

209

210

211

212

213

214

215

216

217

218

219

220

221

222

223

224

225

226

227

228

229

230

231

232

233

234

235

236

237

238

239

240

241

242

243

244

245

246

247

248

249

250

251

252

253

254

255

256

257

258

259

260

261

262

263

264

265

266

267

268

269

270

271

272

273

274

275

276

277

278

279

280

281

282

283

284

285

286

287

288

289

290

291

292

293

294

295

296

297

298

299

300

301

302

303

304

305

306

307

308

309

310

311

312

313

314

315

316

317

318

319

320

321

322

323

324

325

326

327

328

329

330

331

332

333

334

335

336

337

338

339

340

341

342

343

344

345

346

347

348

349

350

351

352

353

354

355

356

357

358

359

360

361

362

363

364

365

366

367

368

369

370

371

372

373

374

375

376

377

378

379

380

381

382

383

384

385

386

387

388

389

390

391

392

393

394

395

396

397

398

399

400

401

402

403

404

405

406

407

408

409

410

411

412

413

414

415

416

417

418

419

420

421

422

423

424

425

426

427

428

429

430

431

432

433

434

435

436

437

438

439

440

441

442

443

444

445

446

447

448

449

450

451

452

453

454

455

456

457

458

459

460

461

462

463

464

465

466

467

468

469

470

471

472

473

474

475

476

477

478

479

480

481

482

483

484

485

486

487

488

489

490

491

492

493

494

495

496

497

498

499

500

501

502

503

504

505

506

507

508

509

510

511

512

513

514

515

516

517

518

519

520

521

522

523

524

525

526

527

528

529

530

531

532

533

534

535

536

537

538

539

540

541

542

543

544

545

546

547

548

549

550

551

552

553

554

555

556

557

558

559

560

561

562

563

564

565

566

567

568

569

570

571

572

573

574

575

576

577

578

579

580

581

582

583

584

585

586

587

588

589

590

591

592

593

594

595

596

597

598

599

600

601

602

603

604

605

606

607

608

609

610

611

612

613

614

615

616

617

618

619

620

621

622

623

624

625

626

627

628

629

630

631

632

633

634

635

636

637

638

639

640

641

642

643

644

645

646

647

648

649

650

651

652

653

654

655

656

657

658

659

660

661

662

663

664

665

666

667

668

669

670

671

672

673

674

675

676

677

678

679

680

681

682

683

684

685

686

687

688

689

690

691

692

693

694

695

696

697

698

699

700

701

702

703

704

705

706

707

708

709

710

711

712

713

714

715

716

717

718

719

720

721

722

723

724

725

726

727

728

729

730

731

732

733

734

735

736

737

738

739

740

741

742

743

744

745

746

747

748

749

750

751

752

753

754

755

756

757

758

759

760

761

762

763

764

765

766

767

768

769

770

771

772

773

774

775

776

777

778

779

780

781

782

783

784

785

786

787

788

789

790

791

792

793

794

795

796

797

798

799

800

801

802

803

804

805

806

807

808

809

810

811

812

813

814

815

816

817

818

819

820

821

822

823

824

825

826

827

828

829

830

831

832

833

834

835

836

837

838

839

840

841

842

843

844

845

846

847

848

849

850

851

852

853

854

855

856

857

858

859

860

861

862

863

864

865

866

867

868

869

870

871

872

873

874

875

876

877

878

879

880

881

882

883

884

885

886

887

888

889

890

891

892

893

894

895

896

897

898

899

900

901

902

903

904

905

906

907

908

909

910

911

912

913

914

915

916

917

918

919

920

921

922

923

924

925

926

927

928

929

930

931

932

933

934

935

936

937

938

939

940

941

942

943

944

945

946

947

948

949

950

951

952

953

954

955

956

957

958

959

960

961

962

963

964

965

966

967

968

969

970

971

972

973

974

975

976

977

978

979

980

981

982

983

984

985

986

987

988

989

990

991

992

993

994

995

996

997

998

999

1000

Qualified requestors may obtain additional copies from
the Defense Documentation Center. All others should
apply to the National Technical Information Service.

Unclassified
Security Classification

DOCUMENT CONTROL DATA - R&D		
(Security classification of title, body of abstract and indexing annotation must be entered when the overall report is classified)		
1. ORIGINATING ACTIVITY (Corporate author) Monsanto Company/Electronics Division 800 N. Lindbergh Boulevard St. Louis, Missouri 63166		2a. REPORT SECURITY CLASSIFICATION Unclassified 2b. GROUP
3. REPORT TITLE THIN FILM OPTICAL WAVEGUIDES IN III-V SEMICONDUCTORS		
4. DESCRIPTIVE NOTES (Type of report and inclusive dates) Scientific. Interim.		
5. AUTHOR(S) (First name, middle initial, last name) M. G. Craford		
6. REPORT DATE July 1974	7a. TOTAL NO. OF PAGES 34	7b. NO. OF REFS 8
8a. CONTRACT OR GRANT NO. F19628-72-C-0324		9a. ORIGINATOR'S REPORT NUMBER(S) Semi-Annual Technical Report No. 4
b. PROJECT, TASK, WORK UNIT NOS. 2074 n/a n/a		9b. OTHER REPORT NO(S) (Any other numbers that may be assigned this report) AFCRL-TR-74-0554
c. DOD ELEMENT 61101E		
d. DOD SUBELEMENT n/a		
10. DISTRIBUTION STATEMENT A - Approved for public release; distribution unlimited.		
11. SUPPLEMENTARY NOTES This research was supported by the Defense Advanced Research Projects Agency. ARPA Order No. 2074		12. SPONSORING MILITARY ACTIVITY Air Force Cambridge Research Laboratories (LQ) Hanscom AFB, Massachusetts 01731 Contract Monitor: Dr. Andrew C. Yang/LQD
13. ABSTRACT A number of GaAs/GaAsP waveguides have been grown on wafers with maximum dimensions on the order of 7 cm. The surface alloy composition variation is within less than 1%. Waveguide attenuation measurement at 10.6 μ m gives a 2 dB/cm loss for a single mode waveguide, which is the lowest reported to date. Preliminary result on sandwiched GaAsP/GaAs/GaAsP gives a 6 dB/cm loss for a single mode waveguide. Waveguide work at one micron wavelength has been initiated. Light couplings through edge illumination, grating coupler, and prism coupler are successful.		

DD FORM 1473
1 NOV 65

Unclassified
Security Classification

PRICES SUBJECT TO CHANGE

Unclassified

Security Classification

14.	KEY WORDS	LINK A		LINK B		LINK C	
		ROLE	WT	ROLE	WT	ROLE	WT
	Gallium arsenide Gallium arsenide phosphide Vapor phase epitaxy Integrated optics Thin film waveguides Electro-optical modulation Optical attenuation						

Unclassified

Security Classification

FOREWORD

This semi-annual technical report covers the work performed under Contract F19628-72-C-0324 between the period of January 1, 1974, to June 30, 1974.

The objective of this program is to grow a variety of epitaxial GaAs, GaAsP and GaAlAs waveguide structures and to evaluate their performance with regard to the propagation of 10.6 μ m radiation. The effect of such parameters as layer thickness, alloy composition profile, and carrier concentration will be investigated. Vapor phase epitaxial techniques are being employed to grow the GaAsP structures and liquid phase epitaxial techniques have been used to grow the GaAlAs structures. During this reporting period, waveguide evaluation at one micron wavelength has been initiated.

Technical direction is being provided by Dr. Andrew Yang of the Air Force Cambridge Research Laboratory. The growth of the epitaxial structures is being carried out in the Monsanto Commercial Products Company, Electronic Products Division, Laboratories, St. Louis, Missouri, and the waveguide evaluation has been subcontracted to and is being performed in the laboratories of the Washington University School of Engineering and Applied Science, St. Louis, Missouri.

The research carried out in this program is under the direction of M. George Craford. Others directly involved in this work and in the preparation of this report are D. Finn, W. O. Groves, of Monsanto Company, and W. S. C. Chang, M. W. Muller, and M. S. Chang, of Washington University.

TABLE OF CONTENTS

No.		Page
1.	SUMMARY OF RESULTS	1
2.	VAPOR PHASE EPITAXY	3
2.1	Introduction	3
2.2	GaAs/GaAs _{1-x} Waveguides	3
2.3	GaAs _{1-x} P _x /GaAs/GaAs _{1-x} P _x Waveguides	4
2.4	Surface Alloy Uniformity of GaAsP.	4
2.5	E _f axial Wafer Size.	4
3.	WAVEGUIDE EVALUATION	11
3.1	Introduction	11
3.2	10.6 μm Wavelength	11
3.2.1	Loss Calculation in GaAs/GaAsP Waveguide Structure.	11
3.2.2	Measurement of the Attenuation Rate in GaAs/GaAsP Waveguide	14
3.2.3	Measurement of the Attenuation Rate in GaAs/AlGaAs Waveguide.	15
3.2.4	Measurement of the Attenuation Rate in GaAsP/GaAs/GaAsP Waveguide	16
3.2.5	Two-dimensional Waveguide Evaluation	17
3.2.6	Refractive Index Study of GaAsP	17
3.3	1.06 μm Wavelength.	18
3.3.1	Waveguide Mode Excitation.	18
3.3.2	Thin-film Laser Coupling Into a Passive Waveguide.	20
4.	WORK FOR NEXT PERIOD	26
4.1	Material Growth	26
4.2	Waveguide Evaluation.	26
	REFERENCES	27

LIST OF FIGURES

Figure		Page
1	GaAs/GaAsP Waveguide Configuration.	8
2	Surface Alloy Uniformity of GaAsP. Composition at five points showing degree of homogeneity. . . .	9
3	A typical wafer size. This sample has an area of 7 cm x 5 cm. The reflection of the camera is also shown on the wafer surface.	10
4	Attenuation rate of GaAs/GaAsP waveguide. Solid lines are the theoretical curves. Crosses are for TE ₀ modes and circles are for TE ₀ modes.	24
5	Minimum film thickness vs. substrate refractive index.	25
6	Refractive indices of GaAs, GaAs _{0.65} P _{0.35} and GaP as a function of wavelength.	26
7	Refractive index of GaAs _{1-x} P _x at 10.6 μm as a function of phosphorus content.	27

LIST OF TABLES

	Page
Table 1. Thick Undoped GaAs/GaAsP Waveguides	5
Table 2. Thin Undoped GaAs/GaAsP Waveguides	6
Table 3. Sandwiched Undoped GaAsP/GaAs/GaAsP Waveguides .	7

1. SUMMARY OF RESULTS

The following results have been obtained during this reporting period:

- GaAs/GaAsP waveguides have been successfully grown on wafers with maximum dimensions on the order of 7 cm.
- The GaAsP layer has a surface alloy composition variation to within less than 1%.
- A single-mode GaAs/GaAsP waveguide has an attenuation rate of 2 dB/cm at 10.6 μm . This is the lowest reported to date.
- A GaAs/AlGaAs waveguide has an attenuation rate of 3 dB/cm for TE_0 mode, 5 dB/cm for TE_1 mode at 10.6 μm .
- The refractive index of $\text{GaAs}_{1-x}\text{P}_x$ at 10.6 μm has been estimated with a depression $\Delta n = -0.4X$.
- Waveguide work at one micron wavelength (i.e., 1.06 μm and 1.15 μm) has been initiated. Light couplings through edge illumination, grating coupler, and prism coupler are successful.
- A thin-film dye laser has been successfully coupled into a glass waveguide through the block coupling mechanism. This demonstrates the feasibility to couple in $\text{In}_x\text{Ga}_{1-x}\text{As}$ laser at 1.06 μm into our GaAs/GaAsP waveguide.
- Two written papers have been accepted for publication: "Low-Loss Two-Dimensional GaAs Epitaxial Waveguides at 10.6 μm Wavelength", IEEE Transaction on Microwave and Theory and Techniques, Vol. MTT-22, June, 1974. Also, "Low-Loss Large-Area GaAs/GaAsP Heterostructure as Optical Waveguide at 10.6 μm ", Optics Communications, Vol. 11, pp. 201-203, June, 1974.

- Two contributed papers were presented at the DOD/Industry-Wide Integrated Optics and Fiber Optics Communications Conference, San Diego, 15-17 May, 1974: "Low-Loss Large-Area GaAs/GaAsP Heterostructure as Optical Waveguide at 10.6 μm "; "The Block Coupler - A Hybrid Approach to Integrated Optics".

2. VAPOR PHASE EPITAXY

2.1 Introduction

The objectives of the Vapor Phase Epitaxy portion of this program are to grow various GaAs/GaAs_{1-x}P_x and GaAs_{1-x}P_x/GaAs/GaAs_{1-x}P_x waveguide structures to determine the waveguide properties as functions of film thickness, carrier concentration and alloy composition. Work has been concentrated on GaAs/GaAs_{1-x}P_x structures. Some preliminary work has been done to grow GaAs_{1-x}P_x/GaAs/GaAs_{1-x}P_x structures. Various GaAs film thicknesses are grown for waveguide evaluation at 10.6 μm and 1.06 μm (also 1.15 μm) wavelengths. The need for one-micron integrated optical circuitry arises from the low loss optical fibers at that wavelength. We are capable to do the work simply by growing very thin GaAs films.

2.2 GaAs/GaAs_{1-x}P_x Waveguides

Growth conditions have been developed which produces GaAs/GaAsP structures of good surface quality. The bowing of the large area GaAs/GaAsP structures has been brought under control. Various GaAs film thicknesses have been grown. Table 1 summarizes the thick waveguide samples essentially for 10.6- μm wavelength work. The carrier concentrations of these GaAs films are determined by the capacitance-voltage measurements and are typically in the mid 10^{13} per cm^3 range. Table 2 summarizes the thin waveguide samples essentially for one-micron wavelength work. For these thinner waveguides, the carrier concentrations are in the low 10^{14} cm^{-3} range, which is higher as expected.

2.3 GaAs_{1-x}P_x/GaAs/GaAs_{1-x}P_x Waveguides

This sandwiched waveguide is required for our electro-optic modulator. Its configuration is similar to Figure 1 except with an additional layer of GaAsP on top of GaAs. Several samples have been grown and are listed in Table 3. They have good surface quality.

2.4 Surface Alloy Uniformity of GaAsP

The surface alloy uniformity of GaAsP will assure the surface uniformity in the refractive index, which is important in determining the waveguide properties, both theoretically and experimentally. The alloy composition is determined by the photoluminescence technique. A waveguide sample without GaAs film is used for this measurement. The sample has an area of 4 cm x 4 cm. Five points on the sample are used for the photoluminescence measurement. Figure 2 shows graphically the composition variation within the wafer. It is readily seen that the surface alloy uniformity is excellent and the variation is less than 1%.

2.5 Epitaxial Wafer Size

The GaAs/GaAsP waveguide structure has been successfully grown on wafers with maximum dimensions on the order of 7 cm. Epitaxial wafers of this type with increased length are desirable in order to reduce the modulation drive power of the electro-optical modulators. Figure 3 shows a typical wafer size. This sample has an area of 7 cm x 5 cm. The reflection of the camera is also shown on the wafer surface.

Table 1. Thick Undoped GaAs/GaAsP waveguides

Sample No.	Layer thickness, μm			N_{GaAs}	N_{GaAsP}
	GaAs	GaAsP	Grade	10^{13}cm^{-3}	10^{16}cm^{-3}
6-33	5.8	33	30	5.4	2.6
6-35	7.8	29	33	3	1.4
6-37	6.8	30	29	8	2.7
6-39	9.8	30	34	4	2.5
6-42	4.9	30	34	3.6	1.5
6-44	7.8	41	40	4.3	
6-47	13.7	36	34	3.7	
6-54	11.7	14	29	1.5	
6-76	9.6	45	47	2.7	0.6
6-78	7.8	41	41	2.7	1
6-92	5.9	41	57	4.5	1.4
6-94	9.7	43	49	95	0.6
6-96	7.8	45	41	233	1.7
6-98	9.8	44	44	4.3	1.3
6-115	4	45	47	4.8	0.9
6-122	22	39	42	16	0.9
6-124	5.8	64	42	6.4	0.9
6-133	6	41	41	4.2	1.1
6-135	4	39	45	4.7	0.5
6-138	10	39	43	1.1	0.6
6-147	5	45	41	6.7	0.7
6-149	4	35	37	5.6	1.3
6-151	6	32	39	4.6	0.6
6-154A	4	41	47	4.8	0.5
6-154B	4	41	47	7.6	2.1
6-156	49	71	44	3.9	2.3
6-158	44	74	49	0.1	1.6

Table 2. Thin Undoped GaAs/GaAsP waveguides

Sample No.	Layer thickness, μm			N_{GaAs}	N_{GaAsP}
	GaAs	GaAsP	Grade	10^{14}cm^{-3}	10^{16}cm^{-3}
6-57	2.0	30	30	4.7	3
6-59	1.5	27	24	4	3.2
6-66	1.4	27	35	15	5.1
6-80	2.0	45	41	2.7	1.3
6-90	2.5	45	51	1.4	1.3
6-106	2.0	39	43	1.5	0.5
6-111	2.9	45	49	0.8	0.3
6-126	1.5	43	43	3.4	1.1
6-129	1.2	44	44	4	0.9
6-131	1.0	41	42	3.9	1.1

Table 3. Sandwiched Undoped GaAsP/GaAs/GaAsP waveguides

Sample No.	Layer thickness, μm				N_{GaAs}	N_{GaAsP}
	GaAsP	GaAs	GaAsP	Grade	10^{13} cm^{-3}	10^{16} cm^{-3}
6-109	10	8	35	41		1.1
6-118	11.5	6	42	44		0.3
6-143	5	5	39	39		0.8

AIR

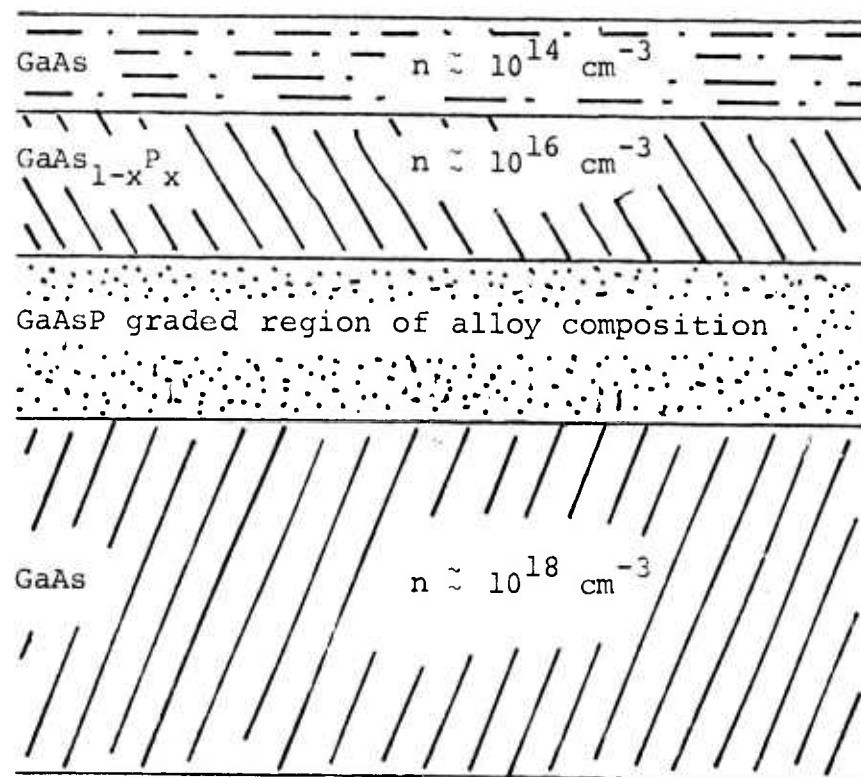
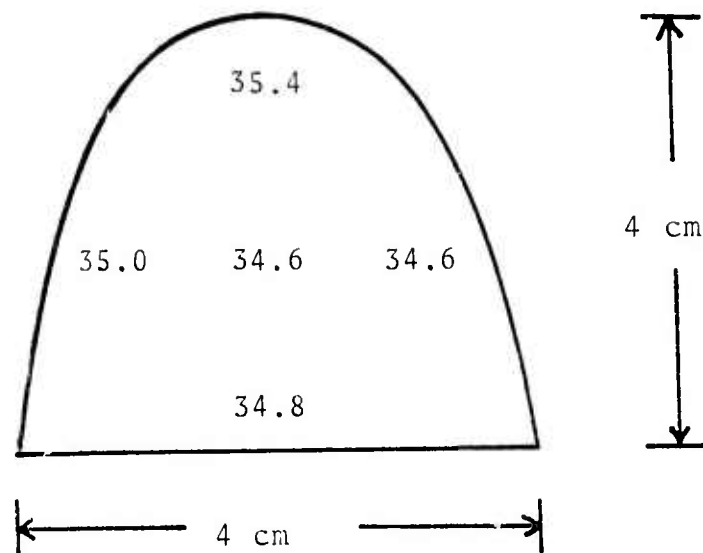


Figure 1: GaAs/GaAsP Waveguide Configuration



MEAN = 34.9% P

Figure 2: Surface Alloy Uniformity of GaAsP. Composition at five points showing degree of homogeneity.

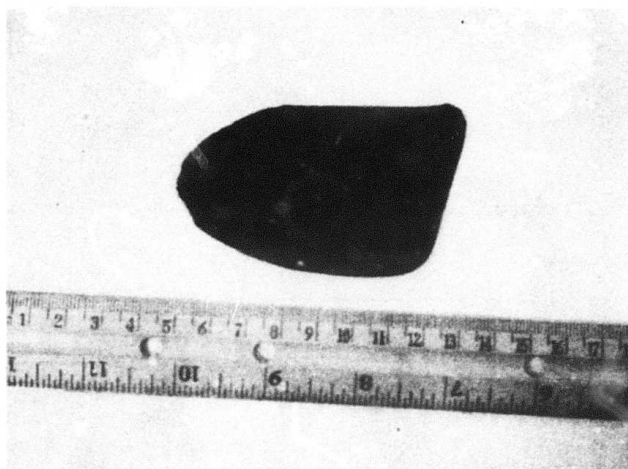


Figure 3: A typical wafer size. This sample has an area of 7 cm x 5 cm.
The reflection of the camera is also shown on the wafer surface.

3. WAVEGUIDE EVALUATION

3.1 Introduction

Waveguide evaluation work has been concentrated at 10.6 μm wavelength in our early semi-annual reports. During this reporting period, we have initiated our waveguide evaluation work at one-micron wavelength, where the capabilities of low-loss optical fibers can best be used.

3.2 10.6 μm Wavelength

3.2.1 Loss Calculation in GaAs/GaAsP Waveguide Structure

The epi-layer GaAs has a carrier concentration of 10^{14}cm^{-3} , while the GaAsP substrate has 10^{16}cm^{-3} . The free carrier absorption in GaAs films is negligible as compared in the GaAsP substrate. The waveguide loss arises from the exponential tail of the guided mode in the film extending into the lossy substrate. We account for the loss in the substrate by expressing the refractive index of the substrate as a complex number:

$$\tilde{n}_0 = n_0 - iK_e = \sqrt{\epsilon_r - i \frac{\sigma}{\omega\epsilon_0}} \quad (1)$$

Where ϵ_r is the relative dielectric constant of the substrate at the optical frequency, ϵ_0 is the permittivity of free space, σ is the conductivity of the substrate at the optical frequency, and ω is the angular frequency of the radiation. The propagation constant of the guided wave in this structure then becomes complex which results in an attenuation constant of the wave in the waveguide. One expects the effect of loss in the phase constant to be of second order. We assert that the presence of the free carriers in the substrate

attenuates the waveguide mode without perturbing its propagation constant β . The wave velocity of a guided mode varies with small increment in n_0 for TE waves as:¹.

$$\left(\frac{\Delta \beta}{K \Delta n_0} \right) = \frac{K n_0}{\beta} \left[\frac{b_1^2}{p_0(p_0^2 + b_1^2)} \right] \quad (2)$$

$$W + \frac{1}{p_0} + \frac{1}{p_2}$$

where

$$b_1^2 = K^2 n_1^2 - \beta^2$$

$$p_0^2 = \beta^2 - K^2 n_0^2$$

$$p_2^2 = \beta^2 - K^2 n_2^2$$

where W is the film thickness, β is the propagation constant and K is the free space wave number. Since we have expressed the substrate refractive index as complex $\tilde{n}_0 = n_0 + \Delta n_0 = n_0 - iK_e$, which then leads to the complex propagation constant $\tilde{\beta} = \beta + \Delta \beta = \beta - i\beta'$ by Equation (2), resulting in a loss coefficient of a guided wave

$$a_N = 2\beta' = 2\Delta \beta \quad (3)$$

Thus, Equation (2) has the physical meaning that the ratio $\left(\frac{\Delta \beta}{K \Delta n_0} \right)$ a dimensionless number compares the loss in the film to the loss of plane wave propagation in the lossy substrate. Since β , b_1 , p_0 and p_2 are all positive in Equation (2), the possible values of β/K range from n_0 to n_1 . At the upper limit $\beta/K \rightarrow n_1$, we have $b_1 \rightarrow 0$. Equation (2) approaches zero. This is understandable

since in this case the wave propagates as a plane wave in the GaAs film; the film thickness $W \rightarrow \infty$, and we have assumed the GaAs film to be lossless. At the lower limit, $\beta/K \rightarrow n_0$, $p_0 \rightarrow 0$, then Equation (2) becomes unity. This is readily understood since for a guided mode near cutoff, the electric field is mainly in the substrate; hence the loss of the guided wave approaches the bulk loss of the substrate. The loss ratio of Equation (3) has a value ranging from unity to zero.

3.2.2 Measurement of the Attenuation Rate in GaAs/GaAsP Waveguides

The GaAs/GaAsP waveguide has a configuration shown in Figure 1. The early GaAs/GaAsP waveguides had a bowed surface which prevented efficient light coupling and produced unreliable attenuation rate measurement. Improvement has been made by the modification in the graded region and flat waveguide structures have been obtained. Attenuation measurements have been performed on a number of GaAs/GaAsP samples. The measured data are plotted in Figure 4. We define the waveguide modes as the modes guided by the GaAs film. There are also composite waveguide modes since both GaAs and GaAsP layers are grown on a low index substrate of n^+ GaAs. However, these composite waveguide modes have higher loss and are of no interest in device consideration. For a single mode waveguide, an attenuation rate of 2 dB/cm has been obtained. For a two-mode waveguide, an attenuation rate as low as 1.5 dB/cm for the fundamental mode has been obtained. It is our understanding that we have the lowest loss in a single mode waveguide at 10.6 μ m wavelength. Also shown in Figure 4 is the theoretical curve of loss. Equation (2) is evaluated with the following parameters: $n_0 = 3.12$, $n_1 = 3.275$ and $n_2 = 1.0$ at $\lambda = 10.6\mu\text{m}$. The propagation constant β is obtained by solving the waveguide mode equation. In the calculation, we have assumed a bulk loss of 10 dB/cm or 2.5 cm^{-1} for the GaAsP substrate at 10.6 μ m wavelength. This assumption should be valid because it agrees well with the results reported by Mil'vidskii et al.²

for the corresponding carrier concentrations in n-type gallium arsenide single crystals. The experimental points in Figure 4 lie above the theoretical curves. This can be understood since we have not included the film surface scattering loss and the film bulk loss in our theoretical calculation. Waveguides with loss less than 1 dB/cm can be fabricated by increasing the GaAs film thickness. For a 22- μ m waveguide, the loss for the fundamental mode is so small that it is immeasurable. Because of the inaccuracy in our measurement, we are only able to say that the loss is less than 1 dB/cm. However, a multi-mode waveguide is undesirable from the device consideration.

A paper entitled "Low-Loss Large-Area GaAs/GaAsP Heterostructure as Optical Waveguide at 10.6 μ m" has been presented at the DOD/Industry-Wide Integrated Optics and Fiber Optics Communications Conference, San Diego, 15-17 May, 1974. A written paper on the same subject has been published in Optics Communications, Vol. 11, pp. 201-203, June, 1974.

3.2.3 Measurement of the Attenuation Rate in GaAs/AlGaAs Waveguide

Toward the end of the last reporting period, one sample of GaAs/AlGaAs was made available for attenuation measurement. Over a length of about 5 mm, an attenuation rate of 3 dB/cm for TE_0 mode and 5 dB/cm for TE_1 mode were measured, with a GaAs film thickness about 8 μ m. The sample size is small. Nevertheless, the measured attenuation rate is encouraging and is comparable with GaAs/GaAsP waveguides. As explained in our last semi-annual report, the liquid

phase epitaxy of this program has been indefinitely suspended, no more samples of GaAs/AlGaAs waveguides were fabricated and no new results were obtained from the waveguide attenuation measurements.

3.2.4 Measurement of the Attenuation Rate in GaAsP/GaAs/GaAsP Waveguide

Many device designs call for an electrode layer on top of the waveguide layer. This metal layer causes tremendous loss to the optical signal in the waveguide. A way to reduce this metallic loss is to include a buffer layer between the waveguide layer and the metal layer. The buffer layer should be thick enough so that the exponential tail of the guided mode does not penetrate into the metal layer. In our waveguide structure the buffer layer is a thin layer of GaAsP on top of the GaAs waveguide. A sample has been fabricated with a 5 μ m GaAs waveguide, plus an additional layer of 5 μ m GaAsP as the buffer layer. Waveguide mode excitation is again achieved by using the germanium prism. The light coupling efficiency is low because of the longer optical tunneling region which now is composed of the air and the GaAsP buffer layer. Waveguide attenuation measurement is performed on this single-mode GaAsP/GaAs/GaAsP sandwich structure, and a very encouraging result of 6 dB/cm loss is obtained. The loss is mainly due to the free carrier absorption in the GaAsP substrate and the GaAsP buffer layer. Both have a carrier concentration of 10^{16}cm^{-3} which corresponds to a 10 dB/cm bulk loss at 10.6 μ m wavelength as explained earlier.

One way to reduce the waveguide attenuation loss is to reduce the free carrier concentration in the GaAsP layers.

3.2.5 Two-dimensional Waveguide Evaluation

A written paper entitled "Low-Loss Two-Dimensional GaAs Epitaxial Waveguides at 10.6 μm Wavelength" has been accepted for publication and appears in Transaction on Microwave Theory and Techniques, Vol. MTT-22, June, 1974. We have initiated a sputter etching process (the earlier work is by chemical etching) to fabricate two-dimensional waveguides. Our initial results indicate that we have a sharp edge definition of the order of 1 μm for a 50- μm wide guide.

3.2.6 Refractive Index Study of GaAsP

A literature survey³ indicates that there are no published data on the refractive index of GaAsP at 10.6 μm wavelength. A rough way to estimate the refractive index of GaAsP is to determine the number of waveguide modes for a known film thickness. The minimum film thickness required to support a waveguide mode is given by⁴

$$W_{\min} = \frac{1}{K(n_1^2 - n_0^2)^{1/2}} [m\pi + \tan^{-1} \left(\frac{n_0^2 - n_2^2}{n_1^2 - n_0^2} \right)^{1/2}] \quad (4)$$

where m is the mode order, K the free space wave number, $n_1 = 3.27$ for GaAs film, $n_2 = 1.0$ for air, and n_0 is the unknown. Figure 5 is a plot of W_{\min} vs. n_0 by evaluating Equation (4). The waveguide thickness is conveniently measured microscopically. Several waveguides are used to excite the guided modes. Experimentally, a 7- μm thick waveguide supports only one guided mode, and Figure 5 indicates n_0 should be larger than 3.10. An 8- μm thick waveguide

supports two guided modes, and Figure 5 indicates n_0 should be smaller than 3.14. Now, we roughly know $3.10 < n_0 < 3.14$ with the understanding that there is also error in film thickness measurement. We simply take the mean for $n_{\text{GaAs}_{1-x}\text{P}_x} = 3.12$ and $X = 0.35$ from the photoluminescence measurement. If we assume a linear depression Δn of the refractive index of $\text{GaAs}_{1-x}\text{P}_x$ from $n_{\text{GaAs}} = 3.27$ as a function of phosphorus content X , we obtain

$$\Delta n = -0.44X \text{ at } \lambda = 10.6 \text{ } \mu\text{m} \quad (5)$$

The refractive index of $\text{GaAs}_{1-x}\text{P}_x$ has been calculated⁵ based on the published⁶ infrared reflectivity spectrum of $\text{GaAs}_{1-x}\text{P}_x$.

Figure 6 shows the calculated dispersion curves of GaAs, $\text{GaAs}_{0.65}\text{P}_{0.35}$ and GaP. At $\lambda = 10.6 \text{ } \mu\text{m}$, the refractive index of $\text{GaAs}_{1-x}\text{P}_x$ as a function of X is shown in Figure 7. We obtain a linear approximation for $\text{GaAs}_{1-x}\text{P}_x$ as

$$\Delta n = -0.42X \text{ at } \lambda = 10.6 \text{ } \mu\text{m} \quad (6)$$

Our rough estimate of Equation (5) agrees reasonably well with Equation (6). A more detailed experimental measurement is under way to determine the refractive index of $\text{GaAs}_{1-x}\text{P}_x$ at $\lambda = 10.6 \text{ } \mu\text{m}$.

3.3 1.06 μm Wavelength

3.3.1 Waveguide Mode Excitation

The evaluation of the waveguide at $\lambda = 1.06 \text{ } \mu\text{m}$ (also at $\lambda = 1.15 \text{ } \mu\text{m}$) has been initiated. Excitation of the waveguide modes has been achieved by several means. The GaAs/GaAsP waveguide structures shown in Figure 1 are used in this study. As the optical wavelength is decreased 10 times from $10.6 \text{ } \mu\text{m}$ to $1.06 \text{ } \mu\text{m}$, the film thickness required is also decreased, accordingly. We are essentially

dealing with waveguides of 1 - 2 μm thick. The edge illumination through the cleaved edge of the waveguide structure is successful, but with poor efficiency. Since the film thickness is on the order of wavelength, there is tremendous scattering loss due to the geometric mismatch between the light beam width of the film edge.

The photoresist grating coupler has been successfully fabricated to excite waveguide modes at 1.06 μm wavelength. The GaAs waveguide is coated with Shipley 1350 photoresist and is exposed to an interference pattern of two beams from an argon laser at 4880 \AA . The grating coupler has a periodicity of about 3700 \AA . Waveguide modes can selectively be coupled in and out of the film. This offers a convenient way to determine the propagation constants of each mode in the waveguide, which supply enough information to calculate the refractive indices of the waveguide structure. Our initial results give a reliable index data up to second decimal point. Improvements are needed to get better accuracy.

A prism film coupler is not readily available for GaAs waveguide at 1.06 μm wavelength. The reason is that GaAs has such high index, $n_{\text{GaAs}} = 3.48$. We have not been able to find a material higher in index, but also transparent at 1.06 μm . We have fabricated a GaAs prism. It has a carrier concentration of $7 \times 10^{16} \text{cm}^{-3}$, while the GaAs film is in the range of 10^{14}cm^{-3} . The index variation caused by the free carrier concentration at the levels of our prism and film is negligible³ at 1.06 μm . We assume equal index for our prism and film. The prism is fabricated with a base angle

of 85° . Waveguide modes are observed with this prism as an output coupler. However, we anticipate difficulty in exciting the fundamental waveguide mode with this prism.

Guiding of $1.06\text{ }\mu\text{m}$ radiation in GaAs/GaAsP waveguide has been observed. No quantitative attenuation measurement has been made yet, but qualitatively, the results appear encouraging. With the success of the GaAs prism coupler, we are in the process to measure the attenuation, at least of the higher order modes.

3.3.2 Thin-film Laser Coupling Into a Passive Waveguide

This project is not supported by this contract. We have included this in the report because of its relevant importance in our one micron work.

A practical integrated optical circuit requires a thin-film laser source coupled to a waveguide for modulation or switching. The interconnection has been suggested in the form of a block coupler⁷. It is essentially a thin-film laser source put face to face to a waveguide. Light coupling occurs through the evanescent field in the air gap. We have demonstrated the feasibility of this approach by using a thin-film dye laser. A rhodamine 6G doped polyurethane film is transversely pumped with a N_2 laser. The laser emits a broadband signal of about 200\AA bandwidth centered at about 6000\AA . When a sputtered glass waveguide is clamped to the thin-film dye laser in the block coupling configuration, the dye laser signal is coupled to the glass waveguide. The output spectrum from the glass waveguide resembles closely the thin-film dye laser spectrum. There is no appreciable change in the half-power

bandwidth before and after coupling. This experiment demonstrates that the block coupler scheme is feasible to couple in $\text{In}_x\text{Ga}_{1-x}\text{As}$ laser⁸ at 1.06 μm to our GaAs/GaAsP waveguide structure. This particular combination offers a practical integrated optical communication system to be realized in the near future.

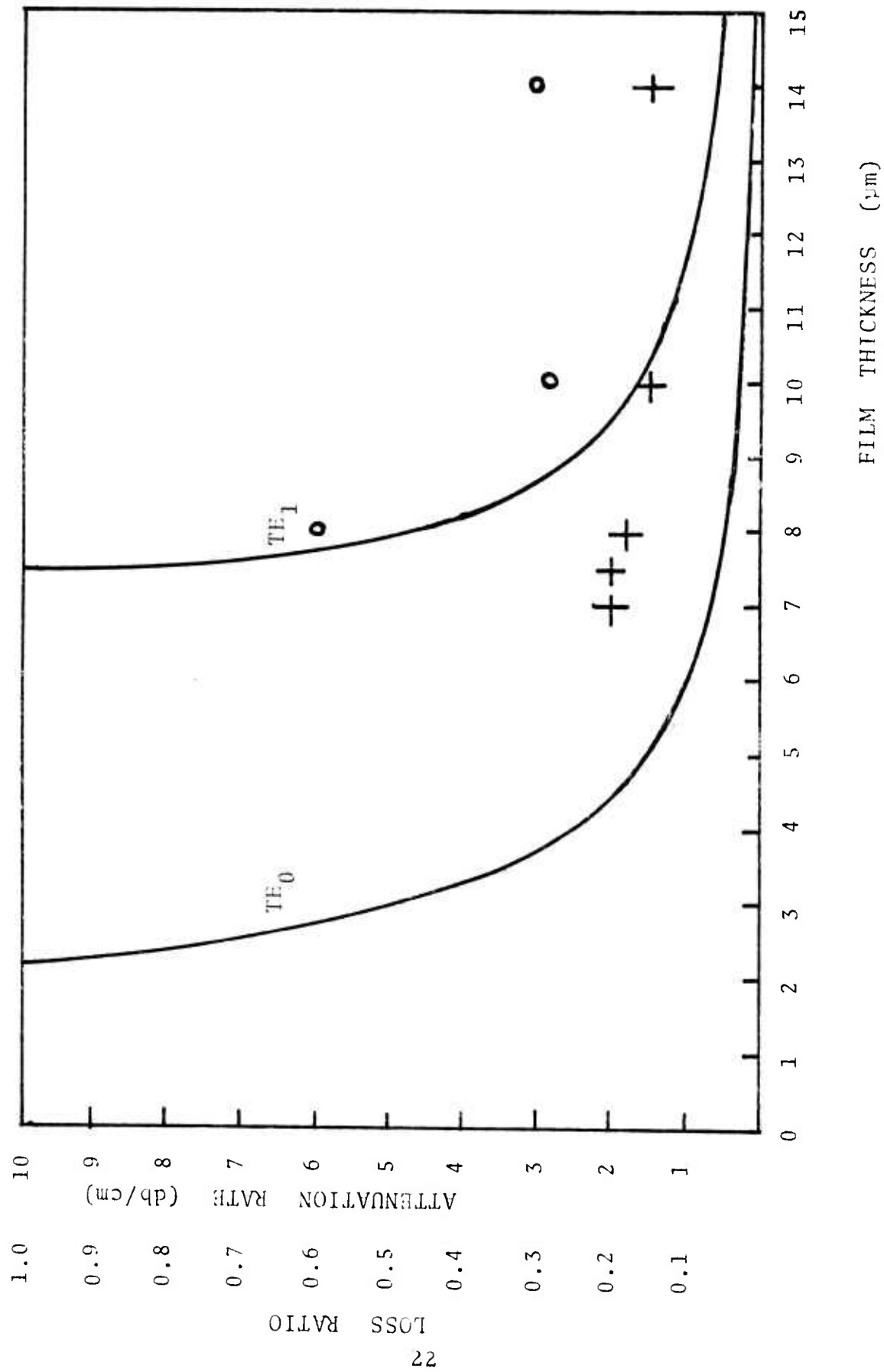


Figure 4: Attenuation rate of GaAs/GaAsP waveguide. Solid lines are the theoretical curves. Crosses are for TE_0 modes and circles are for TE_1 modes.

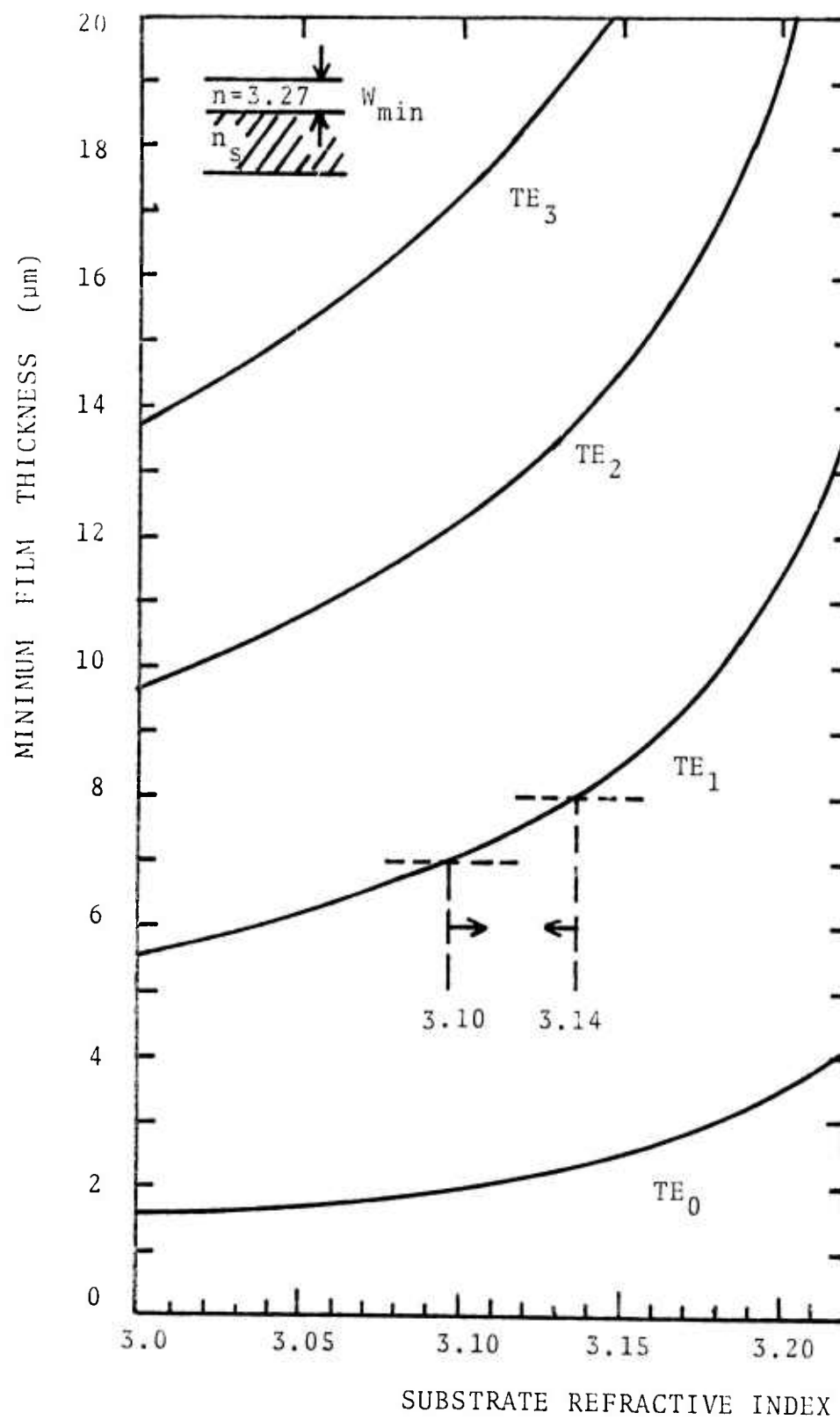


Figure 5: Minimum film thickness vs. substrate refractive index.

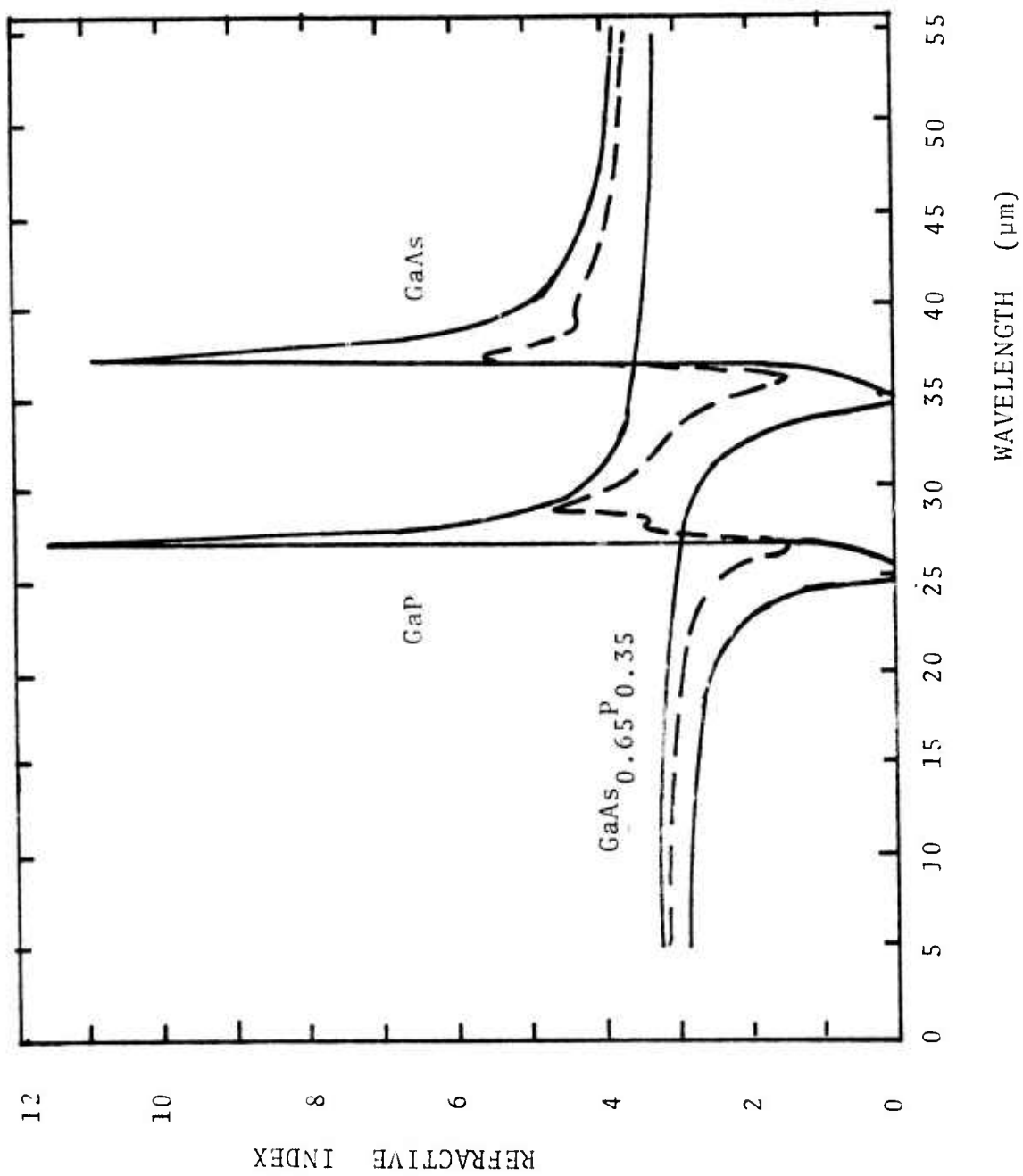


Figure 6: Refractive indices of GaAs, GaAs_{0.65}P_{0.35} and GaP as a function of wavelength.

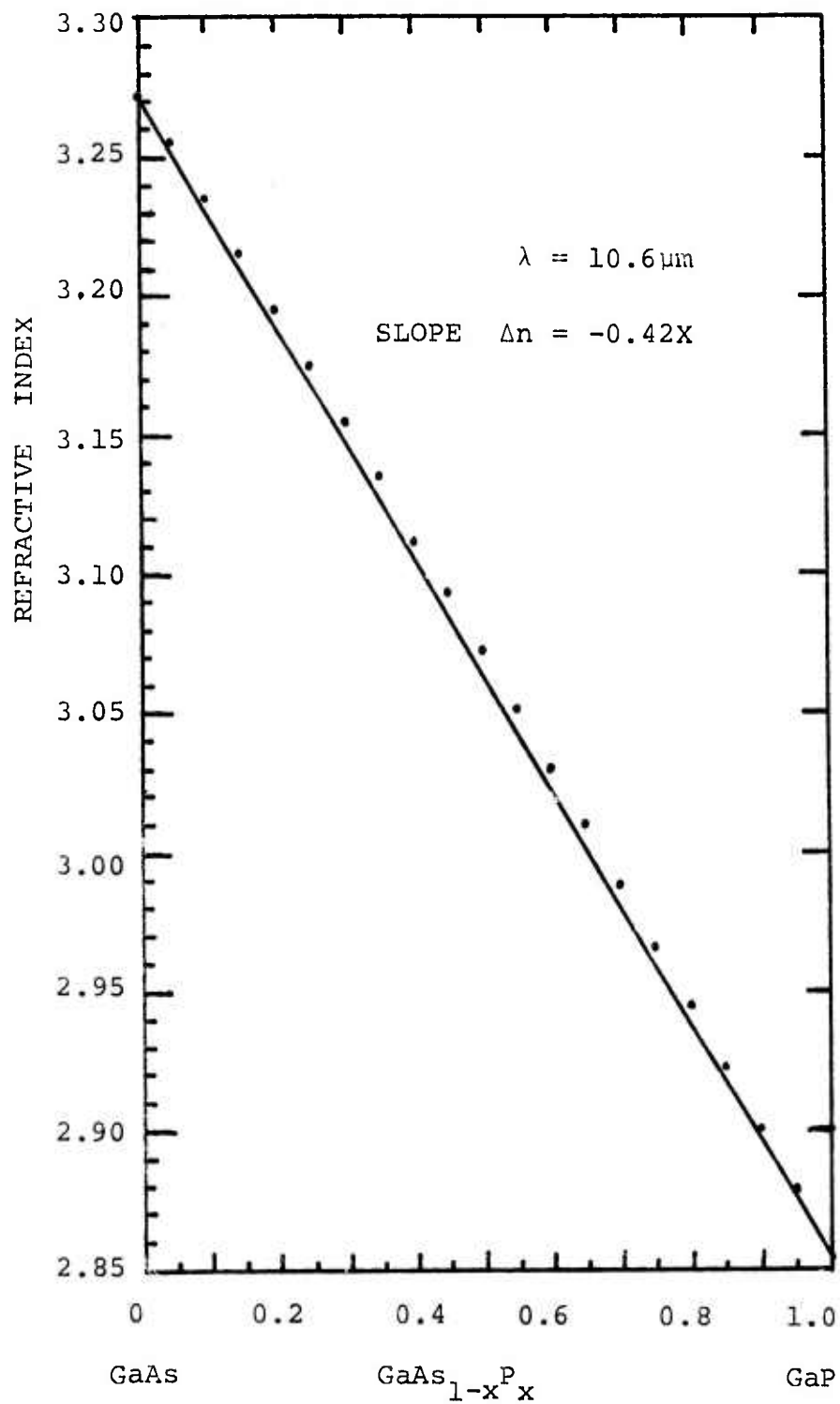


Figure 7: Refractive index of $\text{GaAs}_{1-x}\text{P}_x$ at $10.6 \mu\text{m}$ as a function of phosphorus content.

4. WORK FOR NEXT PERIOD

4.1 Materials Growth

Continue work on GaAs/GaAsP waveguides.

Improve GaAsP/GaAs/GaAsP waveguides.

Study the alloy composition of GaAs/GaAsP waveguide as a function of film depth.

4.2 Waveguide Evaluation

Evaluate new GaAs/GaAsP waveguides at $\lambda = 10.6 \mu\text{m}$.

Evaluate new GaAsP/GaAs/GaAsP waveguides at $\lambda = 10.6 \mu\text{m}$.

Evaluate proton implanted GaAs/n⁺GaAs waveguides in collaboration with AFCRL.

Evaluate neutron irradiated and gamma irradiated GaAs/n⁺GaAs and GaAs/GaAsP waveguides in collaboration with Harry Diamond Laboratory.

Fabricate and evaluate electro-optic modulator with GaAs/GaAsP waveguide.

Fabricate and evaluate electro-optic modulator with GaAsP/GaAs/GaAsP waveguides.

Measure the refractive index of GaAs_{1-x}P_x at 10.6 μm .

Fabricate and evaluate a p-n junction in GaAsP/GaAs/GaAsP waveguides.

Fabricate and evaluate two-dimensional GaAs/GaAsP and GaAsP/GaAs/GaAsP waveguides at 10.6 μm .

Evaluate GaAs/GaAsP waveguides at $\lambda = 1.06 \mu\text{m}$ and $\lambda = 1.15 \mu\text{m}$.

Fabricate grating couplers on GaAs/GaAsP waveguides for $\lambda = 1.06 \mu\text{m}$ and $\lambda = 1.15 \mu\text{m}$.

REFERENCES

1. P. K. Tien, "Light Waves in Thin Films and Integrated Optics", Appl. Opt., 10, pp. 2395-2413, November, 1971.
2. M. G. Mil'vidskii, V. B. Osvenskii, E. P. Rashevskaya, and T. G. Yugova, "Investigation of the Infrared Absorption Spectrum of n-Type Gallium Arsenide", Soviet Physics - Solid State, 7, pp. 2784-2786, May, 1966
3. M. S. Chang, "Refractive Indices of GaAs, $\text{Al}_x\text{Ga}_{1-x}\text{As}$ and $\text{GaAs}_{1-x}\text{P}_x$ ", Technical Report #1974-6, Laboratory for Applied Electronic Sciences, Washington University, St. Louis, June, 1974.
4. P. K. Tien and R. Ulrich, "Theory of Prism-Film Coupler and Thin-Film Light Guide", J. Opt. Soc. Am., 60, pp. 1325-1337, October, 1970.
5. D. E. Hill, Monsanto Company (unpublished, quoted in Ref. 3).
6. H. W. Verleur and A. S. Barker, "Infrared Lattice Vibrations in $\text{GaAs}_{1-y}\text{P}_y$ Alloys", Phys. Rev., 149, pp. 715-729, 16 September, 1966.
7. H. P. Hsu, W. S. C. Chang, and A. Blum, "Block Coupler/Directional Coupler for Hybrid Integrated Optic Circuits", J. Opt. Soc. Amer., 63, p. 478, 1973.
8. C. J. Naese, M. Ettenberg, R. E. Enstrom, and H. Kressel, "CW Laser Diodes and High-Power Arrays of $\text{InGa}_{1-x}\text{As}$ for 1.06 μm Emission", Appl. Phys. Lett., 24, pp. 224-227, 1 March, 1974.